

## Predicting risk of undiagnosed COPD

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# Predicting risk of undiagnosed COPD: Development and validation of the TargetCOPD score

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## **“Take home” message**

Patients at high risk of undiagnosed symptomatic COPD can be identified using electronic primary care health records.

# **Abstract**

## **Background**

COPD is greatly underdiagnosed worldwide and more efficient methods of case-finding are required. We developed and externally validated a risk score to identify undiagnosed COPD using primary care records.

## **Methods**

Retrospective cohort analysis of a pragmatic cluster case finding RCT in the West Midlands, UK. Participants aged 40-79 years with no prior diagnosis of COPD received a postal or opportunistic screening questionnaire. Those reporting chronic respiratory symptoms were assessed with spirometry. COPD was defined as presence of relevant symptoms with a post-bronchodilator FEV<sub>1</sub>/FVC below the lower limit of normal. A risk score was developed using logistic regression with variables available from electronic health records (EHRs) for 2398 participants who returned a postal questionnaire. This was externally validated among 1097 participants who returned an opportunistic questionnaire to derive the c-statistic, and sensitivity and specificity of cut-points.

## **Results**

A risk score containing age, smoking status, dyspnoea, prescriptions of salbutamol, and prescriptions of antibiotics discriminated between patients with and without undiagnosed COPD (c-statistic 0.74 [95% CI 0.68 to 0.80]). A cut-point of  $\geq 7.5\%$  predicted risk had a sensitivity of 68.8% (95% CI 57.3 to 78.9%) and a specificity of 68.8% (95% CI 65.8.1 to 71.6%).

## **Conclusions**

A novel risk score using routine data from primary care EHRs can identify patients at high risk for undiagnosed symptomatic COPD. This score could be integrated with clinical information systems to help primary care clinicians target patients for case finding.

## Introduction

Chronic obstructive pulmonary disease (COPD) is the third leading cause of mortality worldwide[1] but 50-90% of the disease burden remains undiagnosed. Patients with undiagnosed COPD have been shown to have significant morbidity and burden to health services from exacerbations many years prior to their diagnosis, therefore contributing to a large drive worldwide to improve early diagnosis.[2, 3] While mass screening with spirometry among asymptomatic individuals is not recommended,[4] earlier identification of patients with clinically significant but unreported symptoms (case-finding) could improve access to care and prevent disease progression.[5]

A systematic approach to case finding using an initial screening questionnaire mailed to ever smokers (current and former smokers), followed by invitation to spirometry amongst those reporting relevant symptoms was recently evaluated in primary care. [6, 7] This proved to be twice as effective and was more cost-effective than opportunistic case finding, and identified a substantial proportion of patients with potential to benefit from effective interventions. However, this method targeted a broad population (all ever-smokers aged 40-79 years) and was also reliant on patient response.[8] A more efficient approach is therefore needed.

A number of risk scores have been proposed, including one developed by our team, to help identify patients at high risk of undiagnosed COPD using routine clinical records.[9-11] However, their case definition included patients with a new record of COPD diagnosed through usual care. Estimates in England suggest approximately two thirds of COPD cases are undiagnosed.[12-14] Given this extent, the characteristics of patients diagnosed through routine clinical care may differ from those detected through active case finding. Risk scores should therefore ideally be derived using case-found populations.

We report the development and validation of a new clinical score for identifying patients at high risk of undiagnosed COPD in primary care using data from TargetCOPD, a large cluster randomised controlled case finding trial.[6, 7]

## **Methods**

This report has been written in accordance with the TRIPOD statement.[15]

### **Study design**

This is a retrospective cohort analysis of the intervention (case-finding) arm of the TargetCOPD cluster RCT,[6] to develop and validate a risk score for identifying undiagnosed COPD. General practices in the TargetCOPD trial were randomised to either targeted case finding or routine care. Eligible participants were recruited from August 2012 to June 2014. Those in practices that were allocated to the case finding arm were individually randomised to either receive a screening questionnaire only when attending routine clinical appointments or to additionally receive a screening questionnaire by post. Participants reporting relevant respiratory symptoms (chronic cough or phlegm for three or more months of the year for two or more years, wheeze in the previous 12 months or dyspnoea of MRC grade 2 or higher) were offered a diagnostic assessment with post-bronchodilator spirometry. We used data from their primary care electronic health records (EHRs) and spirometry assessment to develop and validate a risk score for undiagnosed COPD.

### **Population**

Participants were aged 40 to 79 years with no prior diagnosis of COPD (Table S1 provides clinical codes used for exclusion). Subjects were further excluded at the discretion of their GP, (e.g. terminal illness, recent bereavement, learning difficulties, or pregnancy). This analysis is restricted to a subset of participants from 13 of the participating 27 practices allocated to the case finding arm for whom data from their EHR were available.

### **Setting**

The TargetCOPD trial was based in primary care practices in the West Midlands, UK.[6] Participating practices broadly reflected the diversity of the population in terms of age, ethnicity, socioeconomic status, and practice characteristics.

## **Outcome**

COPD was defined as the presence of at least one chronic respiratory symptom (as described above) together with airflow limitation measured by post-bronchodilator spirometry. Spirometry was performed to ATS/ERS standards [16] by trained research assistants using EasyOne spirometers (ndd Medical Technologies, Zurich) 20 minutes after the inhalation of 400mcg of salbutamol delivered through a metered dose inhaler and Volumatic spacer. Spirometers were calibrated on a daily basis and all research assistants underwent supervised training over a period of 3-6 months. All spirometry traces were reviewed by a lung function specialist. For this analysis airflow limitation was defined as a forced expiratory volume in one second to forced vital capacity ratio ( $FEV_1/FVC$ ) less than the lower limit of normal ( $<5^{th}$  percentile) adjusted for age, sex, height, and ethnic group using the Global Lung Initiative 2012 equations which provide the most recent and most representative global estimates.[17] This conservative definition of airflow limitation is less likely to over-diagnose COPD in older patients compared to using a fixed ratio definition.[18]

## **Data extraction**

Data (clinical codes) (Table S2) were extracted from EHRs based on predictors identified as potentially important in our previous analysis,[10] including demographic characteristics, smoking status, respiratory symptoms, comorbidities, lower respiratory tract infections (LRTIs), respiratory medication prescriptions, and selected antibiotic use indicated for the treatment of LRTIs. Data from residential postcodes were used to estimate socioeconomic status using the Index of Multiple Deprivation (IMD).[19] All data were stored on an encrypted database.

## **Sample size**

Subjects with missing outcome (COPD) status (predominantly those invited but did not attend a spirometry assessment) were excluded from the analysis (n=755). Data from 2398 subjects who returned a postal questionnaire were used for model development

(development sample) and from 1097 subjects from the same set of practices who returned an opportunistic questionnaire for external validation (external validation sample) (Figure 1). This non-random splitting of the data ensured the developed risk score could be validated in new data from a different part of the intended population.[20] 7.9% of all subjects were newly diagnosed with COPD through the trial (198 in the development and 77 in the external validation samples). At least 10 outcome events are recommended per candidate predictor considered for inclusion in a logistic regression model.[21] There was therefore sufficient power to consider up to 19 candidate predictors in the developed model.

## **Model development**

The model was developed using multivariable logistic regression considering the following candidate predictors for inclusion: age, sex, most recent smoking status, history of asthma, and LRTIs, complaints of cough, dyspnoea, wheeze, and sputum, and prescriptions of salbutamol, prednisolone, and antibiotics, within the previous three years. Since there were very little (<1%) missing data for these candidate predictors, a complete-case analysis was performed.[22] We tested for interactions with a particular focus on age, sex, and smoking status. The best-fitting terms for continuous variables were determined using fractional polynomial regression.[23] Predictors not statistically significant at the  $p < 0.05$  level were removed from the model (although age and smoking status were forced in because of their known clinical importance). The fit of the reduced model was then compared to the full model using a likelihood ratio test.

To improve the calibration of the model predictions and adjust for over-fitting, the model's calibration slope coefficient was estimated in 1000 bootstrap samples to determine the shrinkage factor (the average calibration slope). This was multiplied against predictor coefficients in the developed model to produce the final model equation.[24]

## **Internal validation performance**

The sensitivity and specificity of the predicted probabilities from the final risk score were plotted on a receiver operator characteristic (ROC) curve to examine the discrimination performance. The risk score was internally validated using bootstrap resampling (with 1000 replications) to estimate the c-statistic (area under the ROC curve) corrected for over-fitting.[25] Calibration was assessed by grouping subjects into deciles of predicted risk and comparing the observed with the expected number diagnosed with COPD.

## **External validation performance**

The c-statistic and calibration of the final risk score were then assessed in the external validation sample. As a comparator, we also assessed the discrimination performance of our previously developed clinical score [10] in the external validation sample. This model included smoking status, history of asthma, lower respiratory tract infections and prescriptions of salbutamol as predictors of undiagnosed COPD.

## **Sensitivity analysis**

The final risk score was additionally validated in the external validation sample using a case definition that also included the presence of at least one chronic respiratory symptom but required an alternative definition of airflow obstruction commonly used in clinical practice (an  $FEV_1/FVC$  below 0.7).[26]

## **Preparing the risk score for clinical practice**

To prepare the risk score for use as a screening tool, we evaluated cut-points for dichotomising the predicted probabilities into low and high risk. The sensitivity and specificity were calculated in the external validation sample across a range of cut-points, alongside the positive and negative predictive values, likelihood ratios, and number of diagnostic assessments needed to identify one individual with undiagnosed COPD. All analyses were performed using Stata version 13.1 (StataCorp, Texas).



## **Ethical approval**

Ethical approval for the TargetCOPD trial was received from the Solihull Ethics Committee (IRAS, reference 11/WM/0403).

## Results

### Practice characteristics

Practice size varied with the majority having a list size below 10,000 (Table S3). Most practices served populations in socioeconomically deprived areas with a diverse range of ethnicities. The mean prevalence of diagnosed COPD prior to the trial was 1.3% (range 0.8 to 2.9%).

### Development sample: population characteristics

The development sample included 2,398 individuals, of whom 198 (8.3%) were diagnosed with COPD during the study (Figure 1). The mean age was 59.6 years, 51.6% were male and the majority (85.0%) were of white ethnicity. The majority (77.7%) of newly diagnosed COPD was mild ( $FEV_1 \geq 80\%$  predicted), with 21.1% moderate ( $FEV_1$  50-79%), 1.0% severe ( $FEV_1$  30-49%), and 0.2% very severe ( $FEV_1 < 30\%$ ).

Based on data extracted from EHRs (Table 1), current smoking was significantly more common among participants with COPD than those without (32.8% versus 14.1%, respectively). There was also a higher prevalence of asthma and a slightly higher prevalence of anxiety and depression among those with COPD. However the prevalence of other chronic conditions was similar in both groups. Documented cough, dyspnoea, sputum production, LRTIs, and respiratory prescriptions were all also more common among individuals with COPD.

Individuals with unknown COPD-status (predominantly those who did not attend an assessment) differed from those in the development sample across a number of demographic characteristics (Table S4) - they were generally younger (mean age 55.8 years versus 59.6, respectively), and a higher proportion were female (52.5% versus 48.4%) and current smokers (33.5% versus 15.8%).

## Model results

Complete data for candidate predictors were available for 2380 patients (99.2%) in the development sample (Table 2). The final model of EHR-recorded factors included smoking status, age, dyspnoea, prescriptions of salbutamol, and prescriptions of antibiotics (Table 3). Age was included as two fractional polynomial terms since it was not linear in the logit scale. The final model fitted as well as the full model (likelihood ratio test  $p=0.185$ ) and no significant interactions were found. The final model equation was:

Predicted probability of undiagnosed COPD =  $e^x / (1 + e^x)$

Where  $x = (1.43 \times 10^{-4} \times \text{age}^3) - (3.18 \times 10^{-5} \times \ln[\text{age}]) + (0.51 \times \text{ex-smoker [Y/N]}) + (1.60 \times \text{current smoker [Y/N]}) + (0.72 \times \text{dyspnoea [Y/N]}) + (0.045 \times \text{no. of salbutamol prescriptions}) + (0.99 \times \text{salbutamol prescriptions [Y/N]}) + (0.47 \times \text{antibiotic prescriptions [Y/N]}) - 6.16$

Y=Yes (value=1), N=No (value=0)

## Internal validation

When applied to the development sample the apparent c-statistic was 0.76 (95% CI 0.73 to 0.80), and was 0.76 (95% 0.72 to 0.79) after correcting for over-fitting using bootstrapping. Although smoking status and age were the most important predictors in the risk score, restricting it to just these variables reduced the c-statistic to 0.65 (95% CI 0.60 to 0.69).

## External validation sample: population characteristics

Among 1097 subjects in the external validation population, 77 (7.0%) were newly diagnosed with COPD (Table S5). The mean age was 60.1 years and 51.6% were male, similar to the development sample. Again, a significantly greater proportion of subjects with COPD were current smokers (31.2% versus 17.1%, respectively). However, participants in the external validation sample had a slightly higher socioeconomic status. 1083 subjects (98.7%) had complete data on all candidate predictors and were included in the external validation.

## External validation: risk score performance

The developed risk score demonstrated similar discrimination characteristics when applied to the external validation sample (c-statistic 0.74 [95% CI 0.68 to 0.80]; Figure 2) and

performed better than our previously developed clinical score [10] (c statistic 0.70 [95% CI 0.64 to 0.76] in the external validation sample). The final risk score showed excellent calibration of observed to predicted COPD risk up to 10%, but slightly over-estimated the predicted risk from 10% to 30%, beyond which comparisons were unreliable due to small sample sizes (Table 4). When using the fixed ratio definition of airflow limitation ( $FEV_1/FVC < 0.7$ ) the c-statistic for the final risk score remained at 0.74 (95% CI 0.70 to 0.78).

## **Implementation in clinical practice**

Increasing the cut-point to define high risk reduces the number of assessments needed for each new diagnosis of COPD, although accompanied by a reduction in sensitivity (Table 5). The optimum cut-point should balance both sensitivity and specificity, taking into consideration costs and resource availability. At a cut-point of 7.5% (i.e. classing subjects with a predicted risk  $\geq 7.5\%$  as high risk), which would represent 33.9% of the target population, the risk score is estimated in the external validation sample to have a sensitivity of 68.8% (95% CI 57.3 to 78.9%), specificity of 68.8% (95% CI 65.8 to 71.6%), and would require seven patients (95% CI 6 to 10) to undergo a diagnostic assessment to identify one with COPD.

## **Discussion**

### **Principal findings**

We have developed and externally validated the TargetCOPD score from a large case finding trial in primary care [6, 7] to predict the risk of undiagnosed COPD using routine data from EHRs. The risk score incorporates five factors commonly recorded in health records- age, smoking status, presence of dyspnoea, prescriptions of salbutamol and antibiotics commonly prescribed for LRTIs. When externally validated, the risk score discriminated between patients with and without COPD and performed better than our previously developed score,[10] which relied on incident COPD from routine records rather than actively case-found patients. The risk score also performed similarly when using the fixed ratio definition of airflow limitation. In our newly developed risk score, a cut-point of  $\geq 7.5\%$  would expect to identify about 70% of patients with undiagnosed COPD, needing seven diagnostic assessments for each new diagnosis. Use of higher cut-points could reduce this number at the expense of reducing sensitivity

### **Comparison with existing literature**

Several other risk scores have previously been developed for undiagnosed COPD although the TargetCOPD score is the only one to use case-found COPD patients (Table 6). As with other scores, our own previous risk score used newly diagnosed COPD patients, identified through routine care.[10] Its final predictors differed from the TargetCOPD score, including LRTIs and history of asthma but not history of dyspnoea or prescriptions of antibiotics as predictors. Furthermore, the TargetCOPD score overcomes an important limitation of our previous risk score, where we could not include the effect of age as it was a matching factor (although it is well established that risk of COPD rises with age).[27] A history of asthma and LRTIs did not remain statistically significant in the full multivariable model in the current analysis. However, prescriptions of salbutamol and antibiotics are closely associated with

asthma and LRTIs, respectively, and are possibly better documented in EHRs; therefore they may be reflecting similar clinical features.

Kotz and colleagues also recently developed and internally validated a prediction model for COPD using routine longitudinal data from general practices in Scotland.[9] Their model included age, smoking status, history of asthma and also socioeconomic deprivation but only considered a limited range of risk factors and was not externally validated. Their model, like our previous clinical score, was developed on incident cases of COPD diagnosed through routine care, the disease status of which may have been misclassified because of underdiagnosis [2] and misdiagnosis.[28] Other risk scores have also been developed for COPD using routine primary and secondary healthcare data [29-31] but are unlikely to be applicable in primary care due to the predictors included, many of which are not routinely recorded solely in primary care records (Table 6).

A number of other case finding tools have also been developed and evaluated including screening questionnaires and handheld flow meters.[32-34] However, these require additional resources and patient interactions, and are likely to be less efficient than the use of automated risk prediction scores.

## **Strengths**

We investigated a range of risk factors and developed and validated our risk score on a population with no prior diagnosis of COPD that were actively case-found in a wide range of general practices. We employed a robust case definition which is likely to be representative of clinically significant, undiagnosed COPD, and confirmed with quality assured spirometry. The developed risk score was externally validated, increasing the likelihood of its validity in other primary care populations, although further external validation is needed on populations from a different location. The final risk score incorporates a small number of commonly recorded factors from electronic health records which should ensure its applicability in routine primary care in the UK and similar health systems. However it would be more

challenging to implement in health systems that use paper-based health records or where electronic records are less detailed.

## **Limitations**

We used a smaller sample size than several other studies reporting the development of COPD risk scores from routine healthcare data.[9, 10, 29] Although the study was adequately powered for the number of risk factors considered for the model selection, a larger sample size would have enabled estimation of the parameters with greater precision. Ideally a larger sample size would have been used for external validation (simulation-based estimates suggest at least 100 outcome events are required [35]) and would have improved our ability to evaluate the score calibration.

The case definition of COPD used in this study was the presence of relevant self-reported symptoms in addition to airflow limitation and patients who did not report symptoms were not assessed with spirometry. However patients may underreport symptoms and compensate for them by limiting their activities. This could have introduced misclassification bias. Furthermore only 25.7% of all eligible patients responded to the screening questionnaire, which could have introduced response bias, and may limit the generalisability of the score. However this response rate is similar to the average response rate to questionnaires seen in other case finding studies,[33] and because of the pragmatic nature of the trial is likely to represent patients who might respond to screening invitations in real clinical practice.

Finally, the validity of our risk score among all potential subjects could not be determined because we were not able to include those with unknown COPD status, and their characteristics differed from those included in our analysis across a number of demographic characteristics. However, our risk score is applicable to populations of individuals that are likely to respond to questionnaire surveys and are willing to attend subsequent clinical assessment.

## **Implications for clinicians, policymakers and research**

The TargetCOPD score has been developed to help primary care services stratify patients according to their risk of undiagnosed COPD for targeted systematic case finding (Figure S1). The US Preventive Services Task Force recently recommended against screening for asymptomatic COPD on the basis that there was no evidence that it improves health-related quality of life, morbidity or mortality.[4] By contrast the TargetCOPD score has been developed from patients with symptomatic and spirometry-verified disease who are more likely to benefit from treatment.

The score's ability to estimate the probability of undiagnosed COPD could be used to risk stratify patients and could be used to help prioritise referral for diagnostic assessment, including spirometry, or for further screening (e.g. using handheld flow meters). GPs could decide on a cut-point which reflects the resources available to them for conducting high quality spirometry, balancing sensitivity and specificity. Since it relies entirely on routinely recorded data from EHRs, it could be integrated with clinical information systems by programming the model into these digital platforms. This would be applicable in countries with primary care clinical information systems similar to the UK such as in a number of Western European countries, Israel, US, New Zealand, Australia, and Canada.[36, 37]

Finally, the TargetCOPD score should be externally validated in other primary care populations to better assess its generalizability, and its effectiveness in practice evaluated in RCTs, where the impact of using the risk score on patient outcomes can be evaluated as well as the associated costs.[38] This could include a cluster RCT comparing clinical outcomes (such as quality of life, hospitalisation, and mortality) in practices that use the risk score to actively case find patients with undiagnosed COPD, against practices that continue with alternative approaches to case finding and usual care.

## **Conclusion**



We have developed and externally validated the TargetCOPD score for assessing the risk of undiagnosed COPD among patients in primary care using routine data from electronic health records. This is the first risk score for COPD that has been derived from patients identified through systematic case finding and uses routine healthcare data readily available in many primary care settings. It could be used to help identify patients at high risk of COPD to provide appropriate clinical care, including earlier testing and treatment. The risk score should be externally validated in further populations and its impact on clinical care and outcomes evaluated in RCTs.

## **Author contributions**

SH wrote the final protocol, collated the data, conducted the analysis, and wrote the report. RJ, PA, and RR conceived the study, and wrote the initial protocol, advised on the conduct of the study, analysis and drafting of the manuscript. RR provided specialist statistical support. RJ, PA and DF advised on the drafting of the manuscript. RJ, PA and DF are principal investigators on the TargetCOPD trial. All authors commented on and approved the final manuscript. PA is the guarantor.

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## **Disclosures**

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## **Transparency Declaration**

PA affirms that the manuscript is an honest, accurate, and transparent account of the study being reported; that no important aspects of the study have been omitted; and that any discrepancies from the study as planned (and, if relevant, registered) have been explained.

**Table 1 Characteristics extracted from electronic health records (development sample)**

		<b>COPD (n=198 [8.3%])</b>	<b>Non-COPD (n=2200 [91.7%])</b>	<b>Missing data</b>
		<b>n (%)</b>	<b>n (%)</b>	<b>n (%)</b>
<b>Age (years)</b>	Mean (SD)	60.8 (9.6)	59.5 (10.7)	7 (0.3)
	40-49	30 (15.2)	528 (24.0)	
	50-59	54 (27.3)	621 (28.2)	
	60-69	74 (37.4)	595 (27.0)	
	70-79	40 (20.2)	456 (20.7)	
<b>Sex</b>	Male	107 (54.0)	1,128 (51.3)	4 (0.2)
<b>Smoking status</b>	Never	37 (18.7)	744 (33.8)	11 (0.5)
	Former	95 (48.0)	1,135 (51.6)	
	Current	65 (32.8)	311 (14.1)	
<b>IMD score</b>	Median (IQR)	37.4 (19.8-41.3)	23.3 (19.8-41.3)	0 (0.0)
<b>Comorbidities</b>	Asthma	10 (5.1)	29 (1.3)	Unknown**
	Ischaemic heart disease	11 (5.6)	146 (6.6)	
	Heart failure	3 (1.5)	20 (0.9)	
	Diabetes	17 (8.6)	192 (8.7)	
	Stroke	2 (1.0)	18 (0.8)	
	Tuberculosis	3 (1.5)	11 (0.5)	
	Osteoporosis	4 (2.0)	37 (1.7)	
	Depression/anxiety*	36 (18.2)	335 (15.2)	
	LRTIs*	41 (20.7)	233 (10.6)	
<b>Symptoms*</b>	Cough	61 (30.8)	385 (17.5)	Unknown**
	Dyspnoea	23 (11.6)	78 (3.5)	
	Wheeze	30 (15.2)	362 (16.5)	
	Sputum	11 (5.6)	43 (2.0)	
	Unintended weight loss	2 (1.0)	9 (0.4)	
<b>Prescriptions*</b>	Salbutamol	74 (37.4)	251 (11.4)	Unknown**
	Prednisolone	40 (20.2)	138 (6.3)	
	Antibiotics ‡	116 (58.6)	783 (35.6)	

IMD=Index of Multiple Deprivation (a measure of socioeconomic status based on participants' residential postcodes- higher scores indicate higher levels of socioeconomic deprivation), IQR=interquartile range, LRTI=lower respiratory tract infection, SD=standard deviation

\*Recorded within previous three years of commencing case finding at the registered practice

\*\*It was unknown whether absence of a record of comorbidities, symptoms and prescriptions in electronic health records was due to true absence of those factors or due to under-recording.

‡ Antibiotics=amoxicillin, clarithromycin, co-amoxiclav, erythromycin, doxycycline, and cefalexin

**Table 2 Candidate predictors evaluated in the multivariable logistic regression model**

		Unadjusted		Adjusted	
		OR (95% CI)	p	OR (95% CI)	p
<b>Age (years)</b>	40-49	Reference category		Reference category	
	50-59	1.53 (0.97, 2.43)	0.070	1.66 (1.02, 2.70)	0.043*
	60-69	2.19 (1.41, 3.40)	<0.001*	2.63 (1.64, 4.23)	<0.001*
	70-79	1.54 (0.95, 2.52)	0.082	1.72 (1.01, 2.93)	0.044*
<b>Sex</b>	Male	1.11 (0.83, 1.49)	0.471	1.04 (0.76, 1.43)	0.800
<b>Smoking status</b>	Never smoked	Reference category		Reference category	
	Ex-smoker	1.68 (1.14, 2.49)	0.009*	1.71 (1.13, 2.59)	0.012*
	Current smoker	4.20 (2.75, 6.43)	<0.001*	5.58 (3.50, 8.89)	<0.001*
<b>Asthma (ever)</b>		3.98 (1.91, 8.30)	<0.001*	1.44 (0.62, 3.37)	0.400
<b>LRTIs**</b>		2.20 (1.52, 3.19)	<0.001*	1.00 (0.84, 1.19)	0.977
<b>Symptoms**</b>	Cough	2.10 (1.52, 2.89)	<0.001*	1.00 (0.68, 1.47)	0.986
	Dyspnoea	3.58 (2.19, 5.84)	<0.001*	2.19 (1.27, 3.76)	0.005*
	Wheeze	0.91 (0.61, 1.36)	0.635	1.14 (0.73, 1.76)	0.564
	Sputum	2.95 (1.50, 5.82)	0.002*	1.55 (0.71, 3.37)	0.270
<b>Prescriptions**</b>	Salbutamol	4.63 (3.38, 6.36)	<0.001*	3.05 (2.01, 4.62)	<0.001*
	Prednisolone	3.78 (2.57, 5.57)	<0.001*	1.76 (1.09, 2.84)	0.020*
	Antibiotics ‡	2.56 (1.90, 3.44)	<0.001*	1.52 (1.06, 2.18)	0.023*

Based on data extracted from electronic health records for 2380 subjects in the development sample.

Candidate predictors are presented as binary variables unless specified otherwise.

LRTI=lower respiratory tract infection, OR=odds ratio

\*Statistically significant at the  $p < 0.05$  level

\*\*Recorded within previous 3 years

‡ Antibiotics=amoxicillin, clarithromycin, co-amoxiclav, erythromycin, doxycycline, and cefalexin

**Table 3 Final risk score**

Predictor	$\beta^*$ (95% CI)	p
<b>Age<sup>3</sup></b>	$1.43 \times 10^{-4}$ ( $6.11 \times 10^{-5}$ , $2.26 \times 10^{-4}$ )	0.001
<b>Age<sup>3</sup> x ln[age]</b>	$-3.18 \times 10^{-5}$ ( $-5.02 \times 10^{-5}$ , $-1.34 \times 10^{-5}$ )	0.001
<b>Ex-smoker</b>	0.51 (0.10, 0.91)	0.015
<b>Current smoker</b>	1.60 (1.14, 2.05)	<0.001
<b>Dyspnoea**</b>	0.72 (0.18, 1.26)	0.010
<b>Number of salbutamol prescriptions**</b>	0.045 (0.015, 0.075)	0.003
<b>≥1 salbutamol prescription**</b>	0.99 (0.56, 1.42)	<0.001
<b>≥1 antibiotic prescription**</b>	0.47 (0.13, 0.80)	0.007
<b>Constant</b>	-6.16 (-7.63, -4.70)	<0.001

\*Regression coefficient

\*\*Recorded within the previous three years

Predicted probability of undiagnosed COPD=  $e^x / (1 + e^x)$

Where  $x = (1.43 \times 10^{-4} \times \text{age}^3) - (3.18 \times 10^{-5} \times \ln[\text{age}]) + (0.51 \times \text{ex-smoker [Y/N]}) + (1.60 \times \text{current smoker [Y/N]}) + (0.72 \times \text{dyspnoea [Y/N]}) + (0.045 \times \text{no. of salbutamol prescriptions}) + (0.99 \times \text{salbutamol prescriptions [Y/N]}) + (0.47 \times \text{antibiotic prescriptions [Y/N]}) - 6.16$

(NB. The shrinkage factor was 1, which indicates that there was no evidence of over-fitting in the final model.)

**Table 4 Model calibration**

Development sample (n=2380)					External validation sample (n=1083)			
Predicted Risk (%)	COPD	Non-COPD	Observed risk (%, 95% CI)		COPD	Non-COPD	Observed risk (%, 95% CI)	
<b>0-9</b>	84	1,781	4.5	(3.6, 5.5)	35	780	4.3	(3.0, 5.9)
<b>10-19</b>	53	271	16.4	(12.5, 20.8)	20	158	11.2	(7.0, 16.8)
<b>20-29</b>	33	89	27.0	(19.4, 35.8)	11	51	17.7	(9.2, 29.5)
<b>30-39</b>	11	17	39.3	(21.5, 59.4)	6	9	40.0	(16.3, 67.7)
<b>40-49</b>	8	15	34.8	(34.9, 90.1)	3	4	42.9	(9.9, 81.6)
<b>50-59</b>	4	6	40.0	(12.2, 73.8)	0	2	0	(0, 84.2)
<b>60-69</b>	1	3	25.0	(0.6, 80.6)	0	0	0	-
<b>70-79</b>	2	0	100	(15.8, 100)	1	2	33.3	(0.8, 90.6)
<b>80-89</b>	1	0	100	(2.5, 100)	0	0	0	-
<b>90-100</b>	0	1	0.0	(0, 97.5)	1	0	100.0	(2.5, 100)
<b>Total</b>	197	2183	8.3	(7.2, 9.5)	77	1006	7.1	(5.7, 8.8)

**Table 5 Diagnostic accuracy of the model in the external validation sample (n=1083)**

<b>Cut-point (%)</b>	<b>% patients at/above cut-point*</b>	<b>Sensitivity (95% CI)</b>	<b>Specificity (95% CI)</b>	<b>Correctly Classified (%)</b>	<b>LR+ (95% CI)</b>	<b>LR- (95% CI)</b>	<b>PPV (95% CI)</b>	<b>NPV (95% CI)</b>	<b>NND (95% CI)</b>
<b>≥2.5</b>	88.2	97.4 (90.9, 99.7)	12.5 (10.5, 14.7)	18.6	1.11 (1.07, 1.16)	0.21 (0.05, 0.82)	7.9 (6.2, 9.8)	98.4 (94.5, 99.8)	13 (11, 17)
<b>≥5.0</b>	53.7	80.5 (69.9, 88.7)	48.4 (45.3, 51.5)	50.7	1.56 (1.38, 1.77)	0.40 (0.25, 0.64)	10.7 (8.3, 13.5)	97.0 (95.1, 98.3)	10 (8, 13)
<b>≥7.5</b>	33.9	68.8 (57.3, 78.9)	68.8 (65.8, 71.6)	68.8	2.21 (1.85, 2.63)	0.45 (0.32, 0.63)	14.4 (11.0, 18.5)	96.6 (95.1, 97.8)	7 (6, 10)
<b>≥10.0</b>	24.8	54.5 (42.8, 65.9)	77.5 (74.8, 80.1)	75.9	2.43 (1.92, 3.07)	0.59 (0.46, 0.75)	15.7 (11.5, 20.6)	95.7 (94.1, 97.0)	7 (5, 9)
<b>≥12.5</b>	19.8	46.8 (35.3, 58.5)	82.3 (79.8, 84.6)	79.8	2.64 (2.01, 3.47)	0.65 (0.52, 0.80)	16.8 (12.1, 22.5)	95.3 (93.7, 96.6)	6 (5, 9)
<b>≥15.0</b>	15.0	41.6 (30.4, 53.4)	87.0 (84.7, 89.0)	83.8	3.19 (2.34, 4.35)	0.67 (0.56, 0.81)	19.6 (13.8, 26.6)	95.1 (93.5, 96.4)	6 (4, 8)
<b>≥17.5</b>	9.9	33.8 (23.4, 45.4)	91.9 (90.0, 93.5)	87.7	4.14 (2.85, 6.03)	0.72 (0.61, 0.85)	24.1 (16.4, 33.3)	94.8 (93.2, 96.1)	5 (3, 7)
<b>≥20.0</b>	8.3	28.6 (18.8, 40.0)	93.2 (91.5, 94.7)	88.6	4.23 (2.77, 6.44)	0.77 (0.66, 0.88)	24.4 (16.0, 34.6)	94.5 (92.9, 95.8)	5 (3, 6)
<b>≥22.5</b>	5.9	20.8 (12.4, 31.5)	95.2 (93.7, 96.5)	89.9	4.36 (2.60, 7.30)	0.83 (0.74, 0.93)	25.0 (15.0, 37.4)	94.0 (92.4, 95.4)	4 (3, 7)
<b>≥25.0</b>	3.7	14.3 (7.4, 24.1)	97.1 (95.9, 98.1)	91.2	4.96 (2.58, 9.53)	0.88 (0.81, 0.97)	27.5 (14.6, 43.9)	93.7 (92.0, 95.1)	4 (3, 7)
<b>≥30.0</b>	2.6	14.3 (7.4, 24.1)	98.3 (97.3, 99.0)	92.3	8.45 (4.11, 17.4)	0.87 (0.80, 0.96)	39.3 (21.5, 59.4)	93.7 (92.1, 95.1)	3 (2, 5)
<b>≥35.0</b>	1.9	10.4 (4.6, 19.4)	98.8 (97.9, 99.4)	92.5	8.71 (3.67, 20.7)	0.91 (0.84, 0.98)	40.0 (19.1, 63.9)	93.5 (91.9, 94.9)	3 (2, 6)
<b>≥40.0</b>	1.2	6.5 (2.1, 14.5)	99.2 (98.4, 99.7)	92.6	8.17 (2.74, 24.4)	0.94 (0.89, 1.00)	38.5 (13.9, 68.4)	93.3 (91.6, 94.7)	3 (2, 8)
<b>≥45.0</b>	0.8	2.6 (0.3, 9.1)	99.3 (98.6, 99.7)	92.4	3.73 (0.79, 17.7)	0.98 (0.95, 1.02)	22.2 (2.8, 60.0)	93.0 (91.3, 94.5)	5 (2, 36)
<b>≥50.0</b>	0.6	2.6 (0.3, 9.1)	99.6 (99.0, 99.9)	92.7	6.53 (1.22, 35.1)	0.98 (0.94, 1.01)	33.3 (4.3, 77.7)	93.0 (91.3, 94.5)	3 (2, 23)

LR=likelihood ratio, PPV=positive predictive value, NPV=negative predictive value, NND=number of diagnostic assessments needed per case detected

\*% of subjects with a predicted risk score at or above the cut-point.

**Table 6 Comparison of existing risk prediction models for COPD**

Model/clinical score	Development	Validation	Predictors	c-statistic (95% CI)	Strengths	Limitations
<b>TargetCOPD*</b>	Retrospective cohort analysis of a case finding cluster RCT & routine data from 13 general practices	Internal and external validation using data from subjects who completed a screening questionnaire and performed spirometry	Age Smoking Dyspnoea Salbutamol Antibiotics	<u>External</u> 0.74 (0.68-0.80)	Developed and validated on subjects with previously undiagnosed COPD confirmed by quality controlled spirometry.  Can be integrated with clinical information systems.  Good discrimination performance.	Dependent on quality of clinical coding
<b>Haroon 2014[10]*</b>	Case control study using routine data from 360 general practices.	Internal and external validation using routine data	Smoking Salbutamol Asthma LRTIs	<u>External</u> 0.85 (0.83-0.86) in original study  0.70 (0.64-0.76) in current study	Developed on large sample size. Can be integrated with clinical information systems. High discrimination performance. Considered wide range of risk factors.	<b>Predicts physician-diagnosed COPD. #</b> Excluded age and sex as predictors. Dependent on quality of clinical coding
<b>Kotz 2014[9]*</b>	Retrospective cohort study using routine data from 239 general practices.	Internal validation using routine data	Age Smoking SES Asthma	<u>Internal</u> 0.85 (0.84-0.85) in males  0.83 (0.83-0.84) in females	Developed on large sample size. Can be integrated with clinical information systems. High discrimination performance. Estimates 10 year risk of incident COPD.	<b>Predicts physician-diagnosed COPD. #</b> Limited range of risk factors explored. Includes a UK-specific index of socioeconomic deprivation (limiting applicability to other health systems). Dependent on quality of clinical coding
<b>Smidth 2012[31]</b>	Cross-sectional analysis of routine data from seven general practices, secondary care registers and an RCT.	Internal and external validation using routine data and data from an RCT	Chronic lung disease Respiratory medication Previous spirometry	Not reported	High positive predictive value.	<b>Predicts physician-diagnosed COPD. #</b> Requires prior diagnosis of chronic lung disease. Requires data linkage between primary and secondary care. Difficult to administer.
<b>Mapel 2010[30]</b>	Case control study using routine data from four hospitals and 18 general practices.	Internal and external validation using routine data	Antibiotics Respiratory & cardiovascular medications	Not reported	Only used data on medication prescriptions, which are likely to be well recorded.  Developed on large sample size.	<b>Predicts physician-diagnosed COPD. #</b>
<b>Mapel 2006[29]</b>	Case control study using routine data from secondary care	Internal and external validation using routine data	19 healthcare utilization characteristics including cor pulmonale and asthma	Not reported	Developed on large sample size. Can be integrated with clinical information systems.	<b>Predicts physician-diagnosed COPD. #</b> Model includes large number of predictors. Includes predictors unlikely to be routinely recorded in primary care. Excluded smoking status as a predictor.

\* Likely to be readily applicable in primary care. # Potential misclassification of disease (COPD) status during model development and validation.

LRTI= lower respiratory tract infection, SES= socioeconomic status

**Figure 1 Participant selection**

**Figure 2 Receiver operator characteristic curve for the TargetCOPD score in the external validation sample (c-statistic 0.74 [95% CI 0.68 to 0.80])**



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